



TO: Workforce Investment Board Chairmen
Workforce Investment Board Director
Regional Workforce Board Chairpersons
Regional Coordinators
Regional Operators

FROM: Ronald L. Stiver *RS*
Commissioner

DATE: June 15, 2006

SUBJECT: DWD Communication 2005-26
Assessment and Case Management Processes Policy

Purpose

To provide state policy concerning participant assessment and case management processes

Rescission

DWD Communication 98-60, Change 1, dated February 7, 2000

Content

Indiana's workforce investment boards and regional workforce boards are instructed to develop local assessment and case management processes for adults, dislocated workers, and youth.

Assessment Processes

An assessment process collects and evaluates various data elements concerning an individual. Through assessment an individual and a case manager can develop together the plan of activities and services needed to move the individual to economic self-sufficiency.

1. All adults and dislocated workers participating in Workforce Investment Act intensive services must have a comprehensive and specialized assessment of their skill levels and service needs. Such an assessment may include diagnostic testing and the use of other assessment tools, and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals. After moving to intensive services, the participant may continue to receive core services. (Section 134(d)(3)(c) of the Workforce Investment Act)

2. Trade Adjustment Assistance requires that all participants be assessed against six specific criteria for the approval of training:
 - (1) There is no suitable employment (which may include technical and professional employment) available for the adversely affected worker.
 - (2) The worker would benefit from appropriate training.
 - (3) There is a reasonable expectation of employment following completion of such training.
 - (4) Training approved by the Secretary [of Labor] is reasonably available to the worker from either governmental agencies or private sources.
 - (5) The worker is qualified to undertake and complete such training.
 - (6) Such training is suitable for the worker and available at a reasonable cost.

In order to assess the participant accurately, one or more of the following assessment tools must be used:

1. Test for Adult Basic Education (TABE)
2. Comprehensive Adult Student Assessment System (CASAS)

Optional assessments may include:

- ♦ Career Ability Placement Survey (CAPS), Career Occupational Preference System (COPS), and Career Orientation Placement & Evaluation Survey (COPES)
- ♦ WorkKeys
- ♦ ASSET/COMPASS (administered by Ivy Tech Community College for placement purposes)

3. All youth participants must receive an objective assessment. An objective assessment identifies the academic levels, skill levels, and service needs of the youth. Also, the objective assessment includes a review of basic skills, occupational skills, prior work experience, employability, interests, aptitudes (including interests and aptitudes for nontraditional jobs), supportive service needs, and developmental needs of each youth participant. A new assessment is not required if a previous assessment has been completed within the past year that meets all the requirements contained in this policy.

Case Management

Case management is a goal-oriented process leading an individual to economic self-sufficiency. It is an interactive process between the individual and the case manager. Case management is accomplished, in part, through partnering, coaching, empowering, assessing, planning, following-up, and recording.

1. All adults and dislocated workers enrolled in the Workforce Investment Act or Trade Adjustment Assistance program must have an individual employment plan developed while they are enrolled in intensive services. The cornerstone document of the case file is the individual employment plan¹. This should occur in conjunction with the assessment process.

¹ Individual Employment Plan (IEP), Individual Service Strategy (ISS) and Employability Development Plan (EDP) are interchangeable terms. This communication will use the term individual employment plan.

The specific items to be included in the individual employment plan must be based on the circumstances, plans, and desired outcomes for adults and dislocated workers. The individual employment plan must include the participant's employment goals, achievement objectives, and the combination of services for the participant to achieve the employment goals. All participants who receive case management services (including TAA services) must have a case management file using the Indiana Department of Workforce Development's electronic case management system.

2. Development of a service strategy is required for each youth participant. The service strategy will identify an employment goal (including, in appropriate circumstances, nontraditional employment), appropriate achievement objectives, and appropriate services for the participant taking into account the objective assessment. A new service strategy for a youth is not required if staff determines another service strategy developed for the youth participant under another education or training program is appropriate and has been developed within the past year.

Effective Date

July 1, 2006

Ending Date

June 30, 2007

Ownership

Center of Excellence, Career Services

Action

Local administrators must develop policies consistent with this state policy.

Contact Person

Jennifer Biddle, Planning Analyst
Center of Excellence, Career Services
Indiana Department of Workforce Development
10 North Senate Avenue
Indianapolis, IN 46204
Telephone: 317.232.7459
E-mail: jbiddle@dwd.in.gov